



*Image*

PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/735,110
Filing Date	December 12, 2003
First Named Inventor	Pawan K. Nimmakayala
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	P122/MII-94-69v18

### ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Form 1449 - IDS
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	Eighteen (18) References
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	Return Receipt Postcard to Kenneth Brooks
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Law Office of Kenneth C. Brooks
Signature	<i>Kenneth C. Brooks</i>
Date	4/1/04

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Alexis Sheffield		
Signature	<i>Alexis Sheffield</i>	Date	April 1, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Nimmakayala et al. PATENT APPLICATION  
Serial No.: 10/735,110 Group Art Unit: Unassigned  
Filing Date: December 12, 2003 Examiner: Unassigned  
For: MAGNIFICATION CORRECTION EMPLOYING OUT-OF-PLANE  
DISTORTION OF A SUBSTRATE

INFORMATION DISCLOSURE STATEMENT

Commissioner  
for Patents  
Alexandria, VA 22313

Sir:

The following information is submitted in compliance with Applicants' duty of disclosure under 37 C.F.R. § 1.56.

Form PTO-1449 and a copy of each reference recited below accompanies this document. It is respectfully requested that the cited information be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

ISSUED PATENTS

<u>Patent Number</u>	<u>Inventor</u>	<u>Grant Date</u>
5,669,303	Maracas et al.	09/23/1997
6,334,960	Willson et al.	01/01/2002
6,696,220	Bailey et al.	02/24/2004

PENDING PATENT APPLICATIONS

<u>Serial Number</u>	<u>Inventor</u>	<u>Filing Date</u>
10/136,188	Voisin	05/01/2002
10/194,414	Sreenivasan et al.	07/11/2002
10/194,991	Sreenivasan et al.	07/11/2002
10/293,224	Choi et al.	11/13/2002

10/293,919	Voisin	11/13/2002
10/316,963	Choi et al.	12/11/2002
10/614,716	Choi et al.	07/07/2003
10/788,700	Sreenivasan	02/27/2004

#### PATENT APPLICATION PUBLICATIONS

<u>Publication No.</u>	<u>Inventor</u>	<u>Publication Date</u>
US 2002/0094496	Choi et al.	07-18-2002
US 2003/0093122	Choi et al.	07-18-2002

#### FOREIGN PATENT DOCUMENTS

<u>Document Number</u>	<u>Inventor</u>	<u>Pub. Date</u>
WO 01/69317	Montelius et al.	09/20/2001

#### NON-PATENT DOCUMENTS

Krug, Herbert et al. "Fine Patterning of Thin Sol-Gel Films,"  
Journal of Non-Crystalline Solids, 1992, 447-450.

Krauss, et al. "Fabrication of Nanodevices Using Sub-25nm  
Imprint Lithography," Appl. Phys. Lett., 67(21), 3114-  
3116, 1995.



to M. et al., "Step and Repeat UV-Nanoimprint Lithography: Material Issues," Nanoimprint and Nanoimprint Technology Conference, San Francisco, December 11-13, 2002.

Johnson et al., "Advances in Step and Flash Imprint Lithography," SPIE Microlithography Conference, February 23-28, 2003.

CERTIFICATE OF MAILING

Submitted, I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to:

BOX PATENT APPLICATION,  
Commissioner for Patents,  
Alexandria, VA 22313.

Signed: Alexis Sheffield

Typed: Alexis Sheffield

Date: April 1, 2004

Respectfully,

Kenneth C. Brooks

Reg. No. 38393

P.O. Box 81536

Austin, Texas 78708-1536

Telephone: 512-527-0104

Facsimile: 512-527-0107

patentsrus@earthlink.net

Under the Paperwork Reduction Act of 1995, no persons are required to

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet

1

of

4

**Complete if Known**

Application Number

10/735,110

**Filing Date**

12/12/2003

**First Named Inventor**

Nimmakayala et al.

## Group Art Unit

Unassigned

Examiner Name

Unassigned

Attorney Docket Number

P122/MII-94-69V18

## U.S. PATENT DOCUMENTS

[illegible]

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

→  $\boxed{+}$

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/735,110
				Filing Date	12/12/2003
				First Named Inventor	Nimmakayala et al.
				Group Art Unit	Unassigned
				Examiner Name	Unassigned
				Attorney Docket Number	P122/MII-94-69V18
Sheet	2	of	4		

[illegible]

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Please type a plus sign (+) inside this box → ☐

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/735,110
				Filing Date	12/12/2003
				First Named Inventor	Nimmakayala et al.
				Group Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	3	of	4	Attorney Docket Number	P122/MII-94-69V18

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C5	KRUG et al., "Fine Patterning of Thin Sol-Gel Films," Journal of Non-Crystalline Solids, 1992, pp. 447-450, vol. 147 & 148.	
	C6	Krauss et al., "Fabrication of Nanodevices Using Sub-25nm Imprint Lithography," Appl. Phys. Lett 67(21), 3114-3116, 1995	
	C7	CHOI et al., "Method and System of Automatic Fluid Dispensing for Imprint Lithography Processes," U.S. Patent Application Publication 2002/0094496. Published on July 18, 2002.	
	C8	CHOI et al., "Methods for High-Precision Gap and Orientation Sensing Between a Transparent Template and Substrate for Imprint Lithography," U.S. Patent Application Publication 2003/0093122. Published on July 18, 2002.	
	C9	VOISIN, "Methods of Manufacturing a Lithography Template," U.S. Patent Application 10/136,188, Filed with USPTO on May 1, 2002.	
	C10	SREENIVASAN et al., "Step and Repeat Imprint Lithography Systems," U.S. Patent Application 10/194,414. Filed with USPTO July 11, 2002.	
	C11	SREENIVASAN et al., "Step and Repeat Imprint Lithography Processes," U.S. Patent Application 10/194,991. Filed with USPTO July 11, 2002.	
	C12	OTTO M. et al., "Step and Repeat UV-Nanoimprint Lithography: Material Issues," Nanoimprint and Nanoprint Technology Conference, San Francisco, December 11-13, 2002.	
	C13	JOHNSON, et al., "Advances in Step and Flash Imprint Lithography," SPIE Microlithography Conference, February 23-28, 2003.	
	C14	CHOI et al., "A Chucking System and Method for Modulating Shapes of Substrates," U.S. Patent Application 10/293,224. Filed with USPTO on November 13, 2002.	
	C15	CHOI et al., "A Method For Modulating Shapes of Substrates," U.S. Patent Application 10/316,963. Filed with USPTO on December 11, 2002.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

